Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-0047US1	Application No. 10/573,196	
Information Disclosure Statement by Applicant (Use several sheets if necessary)		Applicant Brian Smith, et al.		
		Filing Date March 29, 2007	Group Art Unit 1624	

			U.S. Pate	nt Documents			
Examiner Initial	Desig. ID	Document Number	Publication Date	Patentee	Class	Subclass	Filing Date If Appropriate
	1	4477378	Oct. 16, 1984	Gold et al.			
	2	4584293	Apr. 22, 1986	Reiffen et al			
	3	4737495	Apr. 12, 1988	Bomhard et al			
	4	4957914	Sep. 18, 1990	Clark et al.			
	5	5247080	Sep. 21, 1993	Berger et al.			
	6	20030225057	Dec. 4, 2003	Smith et al.			
	7	20050020573	Jan. 27, 2005	Smith et al.			
	8	7105523	Sep. 12, 2006	Stasch et al.			
	9	7157466	Jan. 1, 2007	McClure et al.			
	10	7173037	Feb. 6, 2007	Alonso-Alija et al			,
-	11	20070060568	Mar. 15, 2007	Smith et al.			
	12	7211591	May 1, 2007	Tajima et al.			
	13	7229991	Jun. 12, 2007	Merla et al.			
	14	7230024	Jun. 12, 2007	Carpino et al			
	15	7232823	Jun. 19, 2007	Carpino et al.			
	16	20070142357	Jun. 21, 2007	Smith et al.			
	17	2008/0045502	Feb. 21, 2008	Burbaum, B.W et al.			

	Foreig	n Patent Docun	nents or Publi	shed Foreign F	Patent A	Applica	ations	
Examiner	Desig.	Document	Publication	Country or		Sub-	Translation	
Initial	ID	Number	Date Pate	Patent Office	Class	class	Yes	No
•	18	GB 1196229	Jun. 24, 1970	Great Britain				
	19	CH500194	Jan. 29, 1971	Switzerland			х	
	20	DE 1914456	Jun. 16, 1971	Germany			X GB1196229	
	21	GB 1247306	Sep. 22, 1971	Great Britain				
	22	AU 515236	Mar. 26, 1981	Australia				
	23	GB 2133401	Jul. 25, 1984	Great Britain				
	24	DE 3418270	Nov. 21, 1985	Germany			X US4584293	

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if no	t in conformance and not considered. Include copy of this form with
next communication to applicant.	

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-0047US1	Application No. 10/573,196	
	closure Statement	Applicant Brian Smith, et al.		
(Use several sheets if necessary) (37 CFR §1.98(b))		Filing Date March 29, 2007	Group Art Unit 1624	

	Foreig	n Patent Docum	ents or Publi	shed Foreign I	atent /	Applica	tions	
Examiner	Desig.	Document	Publication	Country or		Sub-	Transla	tion
Initial	ID	Number	Date	Patent Office	Class	class	Yes	No
	25	SU1238732	Jun. 15, 1986	Soviet Union			X Abstract	
	26	EP 0204349	Dec. 10, 1986	Europe				
	27	EP0331130 A1	Sep. 6, 1989	Europe				
	28	EP0331130 B1	Sep. 6, 1989	Europe				
	29	WO199303015	Feb. 18, 1993	WIPO		·		
	30	EP 0285919 A1	Oct. 12, 1994	Europe				
	31	EP 0285919 B1	Oct. 12, 2994	Europe				
	32	WO2003062205	Jul. 31, 2003	WIPO				
	33	WO2007/120517	Oct. 25, 2007	WIPO				

	Other D	ocuments (include Author, Title, Date, and Place of Publication)
Examiner	Desig.	
Initial	ID	Document
	34	Baindur, et al., "(±)-3-allyl-7-halo-8-hydroxy-1-phenyl-2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepines as Selective High Affinity D1 Dopamine Receptor Antagonists: Synthesis and Structure-Activity
		Relationship", J. Med. Chem., 35:67-72 (1992)
	35	Bickerdike, M. J., "5-HT _{2C} Receptor Agonists as Potential Drugs for the Treatment of Obesity" <u>Current Topics in Medicinal Chemistry</u> , Vol. 3:pages 885-897 (2003)
	36	Bos et al., "Novel Agonists of 5HT _{2C} Receptors. Synthesis and Biological Evaluation of Substituted 2-{Indol-l-yl}-l-methylethylamines and 2-(Indeno[1,2-b]pyrrol-l-yl)-1-methylethylamines. Improved Therapeutics for Obsessive Compulsive Disorder, <i>Journal of Medicinal Chemistry</i> (1997), 40(17), 2762-2769
	37	Bosch, et al., "Studies on the Synthesis of Pentacyclic Strychnos Indole Alkaloids. Photocyclization of N-chloroacetyl-1,2,3,4,5,6-hexahydro-1,5-methanoazocino [4,3-b] Indole Derivatives", Tetrahedron, 41(12):2557-66 (1985)
	38	Bremner, "Seven Membered Rings", Institute for Biomolecular Science, Dept. of Chemistry, University of Wollongong; "Progress in Heterocyclic Chemistry 13", Pergamon Press, Ch. 7:340-77 (2001)
	39	Chumpradit, et al., "(±)-7-chloro-8-hydroxyl-1-(4'-[¹²⁵ I]iodophenyl)-3-methyl-2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepine: A Potential CNS D-1 Dopamine Receptor Imaging Agent", J. Med. Chem., 32:1431-5 (1989)
	40	Clark, et al., "1,9-alkano-bridged 2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepines with Affinity for the α ₂ -Adrenoceptor and the 5-HT _{1A} Receptor", J. Med. Chem., 33:633-41 (1990)
	41	Clinical trial NCT00768612, "Study Evaluating Safety and Tolerability of Vabicaserin in Patients With Sudden Worsening of Schizophrenia Study", http://clinicaltrials.gov/ct2/show/record/NCT00768612
	42	DeMarinis et al., "Development of an Affinity Ligand for Purification of α ₂ Adrenoceptors from Human Platelet Membranes", J. Med. Chem., 27, 918-921 (1984)

Examiner Signature	Date Considered
EXAMINER: Initials citation considered. Draw line through citation if no	t in conformance and not considered. Include copy of this form with
next communication to applicant.	

Substitute Disclosure Form (PTO-1449)

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-0047US1	Application No. 10/573,196	
Information Discl by App		Applicant Brian Smith, et al.		
(Use several sheets if necessary) (37 CFR §1.98(b))		Filing Date March 29, 2007	Group Art Unit 1624	

(Other D	ocuments (include Author, Title, Date, and Place of Publication)
Examiner	Desig.	
Initial	_ ID	Document
	43	Di Giovanni et al., "Serotonin/dopamine interaction – Focus on 5-HT _{2C} receptor, a new target of psychotropic drugs" Indian Journal of Experimental Biology, Vol. 40:pages 1344-1352 (2002)
	44	Dhonnchadha, et al., "Anxiolytic-like Effects of 5-HT _{2c} Ligands on Three Mouse Models of
		Anxiety", Behavioral Brain Research, 140:203-214 (2003)
	45	Dixit et al., "gents Acting on Central Nervous System: Part XXIII-2-Substituted 1, 2, 3, 4, 6, 7, 12, 12a-Octahydropyrazino[2,I-b][3] benzazepines & 3-Substituted 1, 2, 3, 4, 4a, 5, 6, 11-Octahydropyrazin[I,2-b][2] benzazepines", CDRI Communication No. 1969, 893-97 (1974)
	46	Draper, et al., "Novel Stereoselective Syntheses of the Fused Benzazepine Dopamine D _I Antagonist (6aS, 13bR)-11-chloro-6, 6a,7,8,9, 13b-hexahydro-7-methyl-5H-benzo[d]naphth[2, 1-b]azepin-12-ol (Sch 39166): 1. Aziridinium Salt Based Syntheses", Organic Process Research & Development, 2(3):175-85 (1998)
	47	Draper, et al., "Novel Stereoselective Syntheses of the Fused Benzazepine Dopamine D ₁ Antagonist (6aS, 13bR)-11-chloro-6, 6a,7,8,9, 13b-hexahydro-7-methyl-5H-benzo[d]naphth[2, 1-b]azepin-12-ol (Sch 39166): 2. L-Homophenylalanine-Based Syntheses", Organic Process Research & Development, 2(3):186-93 (1998)
	48	Garrison, "Defining obesity: An adventure in cardiovascular disease epidemiology", Journal of Nutritional Biochemistry (1998), 9(9), 493-500
	49	Gerritz, et al., "Two General Routes to 1,4-disubstituted-2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepines", Organic Letters, 2(25):4099-102 (2000)
	50	Guillory, "Generation of Polymorphs, Hydrates, Solvates, and Amorphous Solids", in Polymorphism in Pharmaceutical Solids, ed. Harry G. Brittain, vol. 95, chapter 5, Marcel Dekker, Inc., New York 1999, pages 183-226
	51	Green and Wuts, et al., "Protective Groups in Organic Synthesis", 3rd Ed., Wiley and Sons (1999)*
	52	Halford, et al., "o-phenylenediacetimide and Other Compounds Related to 3,1H-benzazepine", J. Org. Chem. 17:1646-52 (1952)
	53	Hasan, et. al., "Syntheses of N-chloroacyl-β-phenylethylamine Derivatives", Indian J. Chem., 9:1022-4 (1971)
	54	Heys, et al., "A New Entry into C7-Oxygenated Tetrahydro-1 <i>H</i> -3-benzazepines: Efficient Labeling with Carbon-14 in the Benzo Ring", J. Org. Chem., 54(19):4702-6 (1989)
	55	Isaac, "The 5-HT _{2C} receptor as a potential therapeutic target for the design of antiobesity and antiepileptic drugs" <i>Drugs of the Future</i> (2001), 26(4), 383-393
	56	Kaiser, et al., "6-(phenylthio)-substituted 2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepines, a Novel Class of Dopamine Receptor Antagonists and Neuroleptics", J. Med. Chem., 23(9):975-6 (1980)
	57	Klohr, et al., "An Intramolecular Photocyclization to Form the Azepino[3,4,5-cd]Indole System", Synthetic Communications 18(7):671-4 (1988)
	58	Klein, "Outcome Success in Obesity", Obesity Research, (2001), 9(suppl. 4):354S-358S
	59	Küenburg, et al., "Development of a Pilot Scale Process for the Anti-Alzheimer Drug (—)-Galanthamine Using Large-Scale Phenolic Oxidative Coupling and Crystallisation-Induced Chiral Conversion", Organic Process Research & Development, 3(6):425-31 (1999)
	60	Lacivita et al., "Selective Agents for Serotonin _{2C} (5-HT _{2C}) Receptor" Current Topics in Medicinal Chemistry, Vol. 6:pages 1927-1970 (2006)

Date Considered
ot in conformance and not considered. Include copy of this form with

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-0047US1	Application No. 10/573,196	
Information Discle by App		Applicant Brian Smith, et al.		
(Use several sheets if necessary) (37 CFR §1.98(b))		Filing Date March 29, 2007	Group Art Unit 1624	

Other Documents (include Author, Title, Date, and Place of Publication)				
Examiner	Desig.			
Initial	ID	Document		
	61	Lin, et al., "Benzindene Prostaglandins. Synthesis of Optically Pure 15-Deoxy-U-68,215 and its Enantiomer via a Modified Intramolecular Wadsworth-Emmons-Wittig Reaction", J. Org. Chem., 52(25):5594-601 (1987)		
	62	Martin et al. "5-HT _{2C} receptor agonists pharmacological characteristics and therapeutic potential", <i>Journal of Pharmacology and Experimental Therapeutics</i> (1998), 286(2), 913-924		
	63	Millan, et al., "5HT _{2c} Receptors Mediate Penile Erections in Rats: Actions of Novel and Selective Agonists and Antagonists", Eur. J. Pharmacol. 325:9-12 (1997)		
	64	Nagle, et al., "Efficient Synthesis of β-amino Bromides", Tetrahedron Letters, 41:3011-4 (2000)		
	65	Nair, et al., "Preparation of 2,3,4,5-tetrahydro-3,1H-benzazepine-2-one", Indian J. Chem., 5:169-70 (1967)		
	66	Neumeyer, et al., "Development of a High Affinity and Stereoselective Photoaffinity Label for the D-1 Dopamine Receptor: Synthesis and Resolution of 7-[125] Iodo-8-hydroxy-3-methyl-1-(4'-azidophenyl)-2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepine", J. Med. Chem., 33(2):521-6 (1990)		
	67	Okuno, et al., "Photocyclization of N-chloroacetyl-2,5-dimethoxyphenethylamine Synthesis of Pyrroloindoles", Chem. Pharm. Bull., 23(11):2584-90 (1975)		
	68	Orito, et al., "Synthetic studies of heterocyclic compounds I. Alkylation and acylation of 1,2,4,5-tetrahydro-3-methyl-3H-3-benzazepin-2-one," CASREACT, 1979, 93:7990 (Chemical Abstract (Online) Accession No. 1980:407990)		
	69	Pecherer, et al., "A Novel Synthesis of Aromatic Methoxy and Methylenedioxy Substituted 2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepines", J. Het. Chem., 9:609-16 (1972)		
	70	Pfeiffer, et al., "Dopaminergic Activity of Substituted 6-chloro-1-phenyl-2,3,4,5-tetrahydro-1 <i>H</i> -3-benzazepines", J. Med. Chem., 25(4):352-8 (1982)		
	71	"Remington's Pharmaceutical Sciences" 17th ed., Mack Publishing Company, Easton Pa.: 1418 (1985)		
	72	Rosenzweig-Lipson, et al., "Vabicaserin: effects of a novel 5HT2C agonist on medial prefrontal cortex neurotransmission, cognition and sensorimotor gating", 20th ECNP Congress, Vienna, Austria (2007)		
	73	Tecott, et al., "Eating Disorder and Epilepsy in Mice Lacking 5-HT _{2c} Serotonin Receptors", <i>Nature</i> , 374:542-546 (1996)		
	74	Vanderlaan, et al., "Synthesis and Oxidative Coupling of (±)-3-oxoreticuline", J. Org. Chem., 50(6):743-7 (1985)		
	75	Van Oekelen et al., "5-HT _{2A} and 5-HT _{2C} receptors and their atypical regulation properties" <u>Life Sciences</u> , Vol. 72:pages 2429-2449 (2003)		
	76	Weinstock, et al., "Separation of Potent Central and Renal Dopamine Agonist Activity in Substituted 6-chloro-2,3,4,5-tetrahydro-7,8-dihydroxy-1-phenyl-1 <i>H</i> -3-benzazepines", J. Med. Chem., 23(9):973-5 (1980)		
	77	Winkler, "Obesity and hemostasis", Archives of Gynecology and Obstetrics (1997), 261(1), 25-29		
	78	Wu, et al., "Amino Diol Based Asymmetric Syntheses of a Fused Benzazepine as a Selective D1 Dopamine Receptor", Organic Process Research & Development, 1(5):359-64 (1997)		
	79	Yasuda, et al., "A Novel and Stereoselective Synthesis of (±)-cephalotaxine and its Analogue", Tetrahedron Letters, 27(18):2023-6 (1986)		

Examiner Signature	Date Considered		
EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.			

Substitute Form PTO-1449 (Modified)	U.S. Department of Commerce Patent and Trademark Office	Attorney's Docket No. 20750-0047US1	Application No. 10/573,196
	losure Statement plicant	Applicant Brian Smith, et al.	
(Use several sheets if necessary) (37 CFR §1.98(b))		Filing Date March 29, 2007	Group Art Unit 1624

	Other Documents (include Author, Title, Date, and Place of Publication)					
Examiner	Desig.					
Initial	, ID	Document				
	80	Yonemitsu, et al., "Photocyclization of Pharmacodynamic Amines. IV. Novel Heterocycles from N-chloroacetyl-3,4-dimethoxyphenethylamine", Journal of the American Chemical Society, 92(19):5686-90 (1970)				
	81	Yonemitsu, et al., "Photolysis of N-chloroacetyl-O-methyl-L-tyrosine to an Azaazulene", Journal of the American Chemical Society, 89(4):1039-40 (1967)				
	82	Yonemitsu, et al., "Photocyclizations of Tyrosines, Tyramines, Catecholamines, and Normescaline", Journal of the American Chemical Society, 90(3):776-84 (1968)				
	83	Yonemitsu, et al., "Photocyclization of Pharmodynamic Amines. II. X-Ray Analysis of a Noncentrosymmetric Tetracyclic Indole", Journal of the American Chemical Society, 90(23):6522-3 (1968)				
	84	International Search Report for International Application No. PCT/US03/11076 dated October 16, 2003				
	85	International Search Report for International Application No. PCT/US04/019670 dated November 22, 2004				
	86	International Search Report for International Application No. PCT/US2004/034917 dated February 2, 2005				

^{*}Due to the voluminous nature of the reference, a copy of the same is not being submitted herewith. A copy will be submitted upon request.

	Examiner Signature	Date Considered	
ſ	EXAMINER: Initials citation considered. Draw line through citation if not in conformance and not considered. Include copy of this form with		
I	next communication to applicant.		